



#3

PATENT

Attorney Docket No.: 394448

Express Mail Label No.: EL846916991US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Kenneth D. Mackenzie

Serial No. 09/901,828

Filed: July 10, 2001

For: *System For Analyzing Results Of An
Employee Survey To Determine
Effective Areas Of Organizational
Improvement*

Examiner: Not Assigned

Group Art Unit: 2163

SUBMISSION OF MISSING PARTS

Assistant Commissioner for Patents

BOX: MISSING PARTS

Washington, D.C. 20231

Dear Sir:

In response to the Notice of Missing Parts dated August 27, 2001 (copy appended),
enclosed herewith find the following:

1. Combined Declaration and Power of Attorney
2. Fee Transmittal for FY 2001

CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10

I hereby certify that, on the date shown below, this correspondence is being

- ☐ deposited with the United States Postal Service in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

MAILING**37 C.F.R. § 1.8**

- ☐ as first class mail.

37 C.F.R. § 1.10

- ☒ as "Express Mail Post Office to Addressee"
EXPRESS MAIL NO. EL846916991US.

FACSIMILE TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Wendy Precht

Name of Depositor

Signature

October 26, 2001

Date

PATENT

Attorney Docket No.: 394448

Express Mail Label No.: EL846916991US

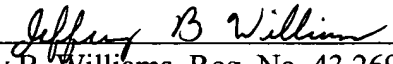
3. Check for \$65.00
4. Certificate of Mailing
5. Return Post Card

If any fee has been inadvertently overlooked, please charge deposit account number 12-0600.

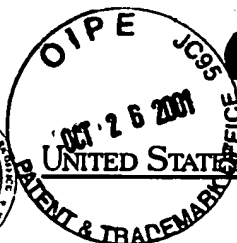
The Examiner is encouraged to contact the undersigned if prosecution of the application may be expedited thereby.

Respectfully submitted:

LATHROP & GAGE LLC



Jeffrey B. Williams, Reg. No. 43,269
2345 Grand Boulevard, Suite 2800
Kansas City, MO 64108
Tel No: 816/460-5846
Fax No: 816/292-2001



#3

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/901,828	07/10/2001	Kenneth D. MacKenzie	394448

CONFIRMATION NO. 8286

FORMALITIES LETTER



OC00000006477363

Jeffrey B. Williams
Lathrop & Gage LC
Suite 2800
2345 Grand Boulevard
Kansas City, MI 64108

Date Mailed: 08/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

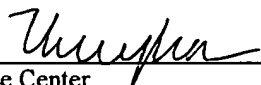
FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

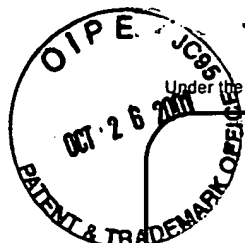

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/06/2001 CCHAU1 00000112 09901828

01 FC:205

65.00 DP



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 65

Complete if Known

Application Number	09/901,828
Filing Date	July 10, 2001
First Named Inventor	Kenneth D. Mackenzie
Examiner Name	Not Assigned
Group / Art Unit	2163
Attorney Docket No.	394448

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

12-0600

Deposit
Account
Name

Lathrop & Gage L.C.

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$) 0

2. EXTRA CLAIM FEES

Total Claims		-20	=	0	X	Fee from below	=	0
Independent Claims		-3	=	0	X		=	0
Multiple Dependent					X		=	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 65

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Jeffrey B. Williams	Registration No. Attorney/Agent)	43,269	Telephone	816/460-5846
Signature				Date	October 26, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

12-05-01

Sector
\$**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Kenneth D. Mackenzie

Matter No.

394448

Serial No.

Filing Date

Examiner

Group Art Unit

9/901,828 -

July 10, 2001

Not Assigned

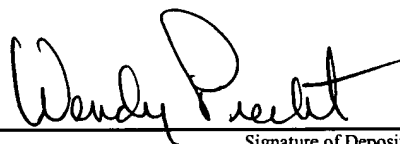
2163

Invention: System For Analyzing Results Of An Employee Survey To Determine Effective Areas Of Organizational Improvement

I hereby certify that this: Submission of Missing Parts (2 Pages); Copy of Notice To File Missing Parts Of Nonprovisional Application (1 Page); Combined Declaration and Power of Attorney (4 Pages); Fee Transmittal (1 Page); Check in the Amount of \$65.00; and this postcard is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Box: Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on this 26th day of October, 2001.

Wendy Precht

Name of Depositor



Signature of Depositor

EL846916991US

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